The Sentinel

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HRIS Security

The activation date for the State's new Human Resources Information Solution (HRIS) is just weeks away now. The activation of HRIS will bring with it more features and greater power. Over time, it will increase efficiencies and effectiveness in the areas of payroll, human resources management and benefits administration. It will also result in some changes in applications security.

HRIS security will be managed directly by the HRIS staff. Form GAO-97, HRMS Security Authorization Form, will be discontinued effective December 29, 2003. In its place will be forms available from the tools section of the HRIS Website at www.adoa.state.us/hris.

Warrant Authorization Cards (WACs) will continue to be issued by the Policy and Compliance (PaC) unit of the General Accounting Office (GAO). The process will continue, as well, to use Form GAO-9, Warrant Authorization Card Application, available from the GAO Website at www.gao.state.az.us.

Though we will for some time continue to honor existing Forms GAO-3, we will be requesting updated GAO-3s, specifically addressing payroll WACs and HRIS Security Administrators during the coming calendar year. We regret any inconvenience this may cause.

For your convenience, completed GAO-9s are to continue being sent to the GAO. When issued, WACs will continue to be picked up at the GAO, and applicants' pictures will continue to be made in the first floor lobby of the Arizona Department of Administration at 100 N. 15th Ave. Anyone needing his or her picture taken may wish to call Badging at (602) 542-4502 to confirm hours of operation.

Contact information for the HRIS Security is:

> Arizona Department of Administration
> Human Resources Information Solution
> 3443 North Central Avenue, Suite 1700
> Phoenix, AZ 85012
> Fax: (602) 274-8629
> Email: **hris-security@state.az.us**

In order to provide better tracking of issues and their resolutions, communications with HRIS Security should be conducted by way of email.

New HRIS screens in AFIS

New screens and tables were added to AFIS over the weekend of November 28th. These screens can now be viewed in AFIS under the new heading "HRIS Control Subsystem" from the main menu and are as follows:

> H01 – HRIS Accounting Unit Control
> H02 – HRIS Activity Control
> H03 – HRIS Account Category Control

These screens have been designed to ensure that the expense distribution indicated for individual employees in HRIS is in sync with the expense profiles established in AFIS. This will prevent payroll expenditures from being coded to an invalid grant, project, Index or PCA. Following are some security-related points to remember about these new HRIS screens in AFIS:

- To prevent unintentional errors in the payroll expense distribution, we strongly recommend that those most knowledgeable of the accounting and budget process within the agency should be given security access to make additions or changes to the new HRIS screens. It is the recommendation of the GAO that this function be limited to agency accounting managers and/or CFOs.

- To request access to the new HRIS screens for agency personnel, security administrators should, when describing 96B screen access on the Form GAO-96, enter "HRS=2."

- The new HRIS screens should only have payroll related Indexes and/or PCAs and their corresponding Grants and/or Projects.

- While requests for access to these screens will be processed immediately, the screens themselves may **not** be accessible or functional **until December 29, 2003**.

Information Sharing

If you have been working as an agency security administrator for a while, you have gained invaluable, practical experience in the field of applications security and internal controls. You may have suggestions relating to applications security or internal controls you would like to share.

If you are new to your position as security administrator, you may have questions relating to applications security or internal controls you would like answered.

In either case, please let us know at gaosecurity@ad.state.az.us.

Using New Forms

As was announced in our last edition of The Sentinel, new forms, among them updated versions of the GAO-9 and GAO-96, have recently been placed on the Online Forms section of the GAO Website at www.gao.state.az.us. These updated forms, in addition to being easier-to-use, also contain additional information that prior versions of the forms did not. Because of this, we ask that whenever possible, these newer versions of the forms be used.

For your convenience, we will continue to accept older versions of security-related forms through March 31, 2004. After that date, security related requests that come to us on older forms will be returned with a request that an updated form be used – a process that will result in your requests being delayed.

Internal Control Categories

In a recent edition of *The Sentinel*, we wrote about separation of duties as an effective internal control. We also defined internal controls as a system incorporating a plan of organization and a set of procedures to monitor assets, deter and detect fraud, minimize errors, verify the correctness and reliability of accounting data, promote operational efficiency and effectiveness, and assure compliance with laws and policies. We also wrote that when separation of duties cannot be implemented, other controls, sometimes known as compensating controls could be instituted. Expanding upon the general discussion of internal controls, in this edition of *The Sentinel*, we would like to introduce the four categories of internal controls that an entity may employ. In future editions, we will explore each of these categories – comparing, for example, strengths and weaknesses – individually.

The four categories of internal controls are:

- **Preventive Controls.**   These are built into, not onto, a system.
- **Detective Controls.**   These are deferred until the end of a process.
- **Directive Controls.**   These make up the policy and procedure framework of a system.
- **Compensating Controls.**   These are designed to compensate for other controls that may be wholly or partially missing.

Winter Holidays

The best of the winter holidays to you!

(602) 542-5600   gaosecurity@ad.state.az.us